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PTO/SB/05 (1/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 0756-1984

First Inventor or Application Identifier: Shunpei YAMAZAKI et al.

Title: SEMICONDUCTOR DEVICE AND FABRICATION METHOD
THEREOF

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification Total Pages [40]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) Total Sheets [8]
4. ☒ Oath or Declaration Total Pages [2]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a
copy of the oath or declaration is supplied under Box 4b,
is considered to be part of the disclosure of the
accompanying application and is hereby incorporated by
reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement ☐ Copies of IDS
(IDS)/PTO-1449 Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ *Small Entity ☐ Statement filed in prior application,
Statement(s) Status still proper and desired
(PTO/SB/09-12)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Notice of Change of Address

*A new statement is required to be entitled to pay small entity fees,
except where one has been filed in a prior application and is being
relied upon.

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:
Divisional of prior application Serial No. 08/938,310, filed September 26, 1997; which itself is a Division of
application Serial No. 08/513,090, filed August 9, 1995, now U.S. Patent No. 5,731,613.
Prior application information: Examiner: F. Abraham Group/Art Unit: 2811

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

Customer No. 22204

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name: Eric J. Robinson
Firm: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, P.C.
Address: 8180 Greensboro Drive, Suite 800
City: McLean State: VA
Country: U.S.A. Telephone (703) 790-9110

Zip Code: 22102
FAX (703) 883-0370

Name: Eric J. Robinson

Registration No. 38,285

Signature

Date: June 17, 1999

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FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

Complete If Known

Application Number _____
 Filing Date June 17, 1999
 First Named Inventor Shunpei YAMAZAKI et al.
 Examiner Name F. Abraham
 Group Art Unit 2811
 Attorney Docket Number 0756-1984

TOTAL AMOUNT OF PAYMENT \$1,972.00

FEE CALCULATION (continued)**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
 Deposit Account No. 19-2380
 Deposit Account Name: SIXBEY, FRIEDMAN, LEEDOM & FERGUSON, PC
☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance
2. ☒ Payment Enclosed:
☒ Check ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
101 760	201 380	Utility filing fee	[760]
106 310	206 155	Design filing fee	[]
107 480	207 240	Plant filing fee	[]
108 760	208 380	Reissue filing fee	[]
114 150	214 75	Provisional filing fee	[]
SUBTOTAL (1)			\$760.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from Below	Fee Paid
57	- 20** = 37	X \$18.00 =	\$666.00
10	- 3** = 7	X \$78.00 =	\$546.00
Multiple Dependent Claims			\$260.00 =

**or number previously paid, if greater, For Reissues, see below

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
103 18	203 9	Claims in excess of 20
102 78	202 39	Independent claims in excess of 3
104 260	204 130	Multiple dependent claim
109 78	209 39	**Reissue independent claims over original patent
110 18	210 9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

\$1,212.00

3. ADDITIONAL FEES

Large Entity

Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge-late filing fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Ext for reply within first month	
116	380	216	190	Ext for reply within second mth	
117	870	217	435	Ext for reply within third mth	
118	1,360	218	680	Ext for reply within fourth mth	
128	1,850	228	925	Ext for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing brief in support of appeal	
121	260	221	130	Request for Oral Hearing	
138	1,510	138	1,510	Petition to institute public use proceeding	
140	110	240	55	Petition to revive-unavoidable	
141	1,210	241	605	Petition to revive-unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of IDS	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	
				Other _____	
				Other _____	
				*Reduced by Basic Filing Fee Paid	
				SUBTOTAL (3)	\$

Complete (if applicable)**SUBMITTED BY**

Typed or Printed Name

Eric J. Robinson

Signature

Date

June 17, 1999

Reg. Number

38,285

Deposit Account User ID

19-2380

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